

# FORT BRAGG

TOTAL ARMY PERFORMANCE  
EVALUATION SYSTEM  
(TAPES)

## Fort Bragg Civilians....Serving Army's Finest



Department of the Army  
HQ XVIII Airborne Corps and Fort Bragg  
Fort Bragg, North Carolina 28310-5000

MEMORANDUM OF AGREEMENT  
FOR THE  
FORT BRAGG TOTAL ARMY PERFORMANCE EVALUATION SYSTEM (TAPES)  
PLAN

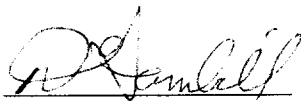
This Memorandum of Agreement is entered into by the American Federation of Government Employees, Local 1770, AFL-CIO (hereinafter referred to as the Union), and Fort Bragg, North Carolina (hereinafter referred to as the Employer), pursuant to the provisions of AR 690-400.

Having met and bargained in good faith, the parties agree that the provision reflected herein will govern the application of the Fort Bragg Total Army Performance Evaluation System.

These provisions represent a commitment by the Employer and the Union to assure compliance with applicable law, rules, and regulations as they relate to the performance evaluation of bargaining unit employees. The intent of the parties is to maintain the highest level of employee efficiency and work force morale through fair, effective, and positive application of the principles and procedures contained in this TAPES Plan.

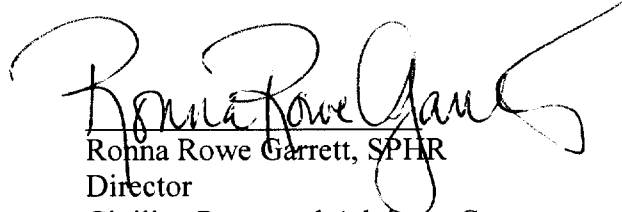
In witness whereof, the parties hereto have entered this Agreement the 28th day of April 2006.

FOR THE UNION:



Donald Gambill  
President  
AFGE Local 1770

FOR THE EMPLOYER:



Ronna Rowe Garrett, SPHR  
Director  
Civilian Personnel Advisory Center

## **GENERAL**

### **APPLICABILITY**

1. This plan applies to all civilian employees in bargaining unit positions paid from appropriated funds in both the competitive and excepted service except those:

- a. Who are in the Senior Executive Service
- b. Who are National Guard Technicians under 32 U.S.C. 709.
- c. Who occupy temporary positions for which employment is not expected to exceed 120 days in a consecutive 12-month period.

2. The requirement to provide individual performance standards applies to supervisors of those who occupy temporary positions from 120 to 364 days. However, the employee(s) in these positions will not receive a performance appraisal. In accordance with 5 U.S.C. Section 4301(2)(H), employees in temporary positions (serving from 120 through 364 days within a year) will be provided a statement requiring a signature of acknowledgement that they are serving without a performance evaluation and that their pay and/or reappointment will not be based in whole or in part on their performance.

### **INTRODUCTION**

1. This plan sets forth the Department of Army's (DA) Total Army Performance Evaluation System (TAPES) Plan, for employees in bargaining unit positions, at Fort Bragg, North Carolina. TAPES is designed to:

- a. Link individual and organizational goals.
- b. Involve managers, supervisors, and employees in the performance appraisal process.
- c. Ensure that ratees are:
  1. Informed in writing of performance responsibilities (base system), performance objectives (senior system) and individual performance standards (both systems) at the beginning of each rating period and whenever there are changes in responsibilities/objectives or individual performance standards.
  2. Motivated and given the opportunity to perform to their fullest potential.
  3. Held accountable for meeting responsibilities/objectives and individual performance standards.
  4. Provided timely feedback on performance of their duties (responsibilities/objectives and individual performance standards), and ways to improve performance.
  5. Assigned accurate responsibilities/objectives, ratings, and summary rating levels based on performance during the rating period.
- d. Make supervisory personnel responsible for the effectiveness and productivity of the employees they supervise.

2. This plan prescribes policies and procedures to implement TAPES that have been reviewed and approved by the Office of Personnel Management (OPM) and by Headquarters, Department of Army (HQDA). It describes the TAPES process and give instructions for preparing processing, and using:

- a. DA Form 7223-1, Base System Civilian performance Counseling Checklist/Record;
- b. DA Form 7223, Base System Civilian Evaluation Report
- c. DA Form 7222-1, Senior System Civilian Evaluation Report Support Form; and
- d. DA Form 7222, Senior System Civilian Evaluation Report.

3. This plan also describes procedures to be followed by ratees who are dissatisfied with their rating of record.

### DEFINITIONS OF TERMS

1. Base System: Army's performance appraisal system covering employees in pay plans and grades: WG, WL all grades, WS/ GS 08 and below (excluding Career Interns).

2. Counseling Checklist (DA Form 7223-1, Base System Civilian Performance Counseling Checklist): The form used in the Base System to list performance standards and to record the results of performance counseling sessions. The counseling documented on the form should set forth specific and measurable work expectations and professional development and describe results of progress reviews of achievements and status of training. The information documented on the Counseling Checklist, coupled with the preprinted responsibilities and performance standards, serves as the Performance Plan.

3. Days: Calendar days.

4. General Schedule: The pay plan referred to as GS.

5. Intermediate Rater: The individual who occupies a supervisory position in the Ratee's chain of command, which falls between the Rater and the Senior Rater. The decision to include an Intermediate Rater in the individual rating chain is made by the local activity commander, or equivalent.

6. Objective: A major goal or related short-term goal(s) to be achieved during the current rating period that contributes to mission accomplishment. Objectives should be written as objectively as possible (to include timeframes, allocated resources, legal/regulatory compliance requirements) and should be of such significance that failure to make satisfactory progress or complete the objective or group of related objectives for reasons within the employee's control could result in the employee's removal from the position. An objective in the Senior System is the same as a critical element as required by 5 CFR 430.

7. Objective Rating: The rating assigned to each documented objective that the ratee in the Senior System had a reasonable opportunity to perform.

8. Overall Performance Rating: The rating assigned to describe the ratee's overall performance for the rating period.

9. Performance: An employee's accomplishment of documented expectations set forth during performance discussions.

10. Performance Appraisal: The act or process of reviewing and evaluating the ratee's achievements against documented expectations and the results of the review and evaluation recorded on the performance evaluation report forms. (DA Form 7222 (Senior System Civilian Evaluation Report) for Senior Systems and DA Form 7223 (Base System Civilian Evaluation Report) for Base Systems.

**11. Performance Plan:** Performance related expectations documented on the counseling checklist in the Base System, or on the Support Form in the Senior System. The performance plan uses the position description and the work unit's mission and goals as its base and includes preprinted responsibilities (Base System), preprinted performance standards (Senior System), and individual work and professional development expectations.

**12. Performance Standard:** Statements of the types and levels of performance expected which serve as measuring tools to be used in assessing achievements. Generic performance standards are preprinted on the counseling checklist and the support form. The preprinted performance standards must be supplemented with specific individual expectations (specific projects and tasks, available resources, timeframes, appropriate levels of supervision) and are established and recorded during discussions between the ratee and the rating chain.

Generic standards are encouraged for very similar jobs (even GS and WG) but there may be variations in individual performance standards or individual objectives for like or similar jobs within organizations due to differences in mission, character or technology of the work, job elements, and distribution of work among individual ratees. Variations should be based on nature of the work to be done, not on differences of abilities of ratees. A well-defined individual performance standard will describe the acceptable level of expected performance for any objective or responsibility. Individual performance standards are normally expressed as a range and an absolute performance standard can only be used where failure can cause injury, breach of security or great monetary loss. The individual performance standard should be expressed in such a way that it is meaningful, attainable and within the employee's control. The high range of performance must be set high enough that it meets the needs of the position and also motivates the employee toward excellence; the low range should be attainable by a competent employee.

**13. Progress Reviews:** Reviews of the ratee's achievements compared with documented expectations and professional development plans that take place at least around the midpoint of the rating period. Progress reviews are to be documented on the counseling checklist for employees in the Base System and on the support form for employees in the Senior System.

**14. Ratee:** The employee who is being rated.

**15. Rater:** The individual in the ratee's chain of command, normally the immediate supervisor, who establishes performance expectations, and who proposes overall performance appraisals and ratings. In some instances, senior rater can complete the rating alone if the rater is unable to complete a rating for reasons such as: extended illness, reassignment, resignation, or when the rater has less than 120 days as the rater.

**16. Rating Chain:** The rater, intermediate rater (optional) and senior rater.

**17. Rating of Record:** The overall performance rating assigned to the annual appraisal.

**18. Rating Period:** The period of time, normally 1 year but not less than 120 days under an approved performance plan, for which the employee receives a written performance appraisal.

**19. Responsibilities:** Major position components for employees in the Base System. The expectations set forth for each responsibility should be written as objectively as possible, and should be measurable (milestones, quality of results, required processes, resources) and should be of such impact that failure to accomplish one or more of them could result in the ratee's

removal from the positions. Responsibilities in the Base System are the critical job elements as required by 5 CFR 430.

20. **Responsibility Rating:** The adjectival rating assigned to each responsibility in the Base System.

21. **Senior Rater:** The individual in the ratee's supervisory chain of command who is at a higher level in the organization than the rater.

22. **Senior System:** Army's performance appraisal system covering employees in the following pay plans and grades: WS/GS 09 and above, employees in equivalent pay plans and grades and Career Interns.

23. **Special Rating:** Rating issued for purposes other than the end of the annual rating cycle, such as: at the end of a temporary promotion, special assignment, or detail, or when the current annual rating does not support an acceptable level of competence because the rating was level 4 or below.

24. **Support Form (DA Form 7222-1, Senior System Civilian Evaluation Report Support Form):** The form in the Senior System on which objectives are recorded and tracked throughout the rating period and on which the ratee records his/her achievements at the end of the rating cycle. Objectives on the support form are critical job elements.

25. **Wage Grade:** Nonsupervisory positions classified in the Federal Wage System and referred to as WG.

26. **Wage Leader:** Leader positions classified in the Federal Wage System and referred to as WL.

27. **Wage Supervisor:** Supervisory positions classified in the Federal Wage System and referred to as WS.

#### TYPES OF APPRAISALS, RATING SYSTEMS AND CYCLES

1. The Base System is used for evaluating WG, WL all grades, and WS/GS 08 and below. The Senior System is used for evaluating WS/GS 09 and above, and Career Interns.

2. The DA standard rating cycle for WG, WL and WS/GS 01 through 12 is from 1 November through 31 October. The rating cycle for WS/GS 13 and above is from 1 July through 30 June.

The annual rating period can be extended when the rater is unable to complete the rating because of circumstances such as: extended illness, death, reassignment, resignation or when the rater will not have at least 120 days as a rater at the completion of the annual rating period. As an alternative in these circumstances, the senior rater can become the sole rater if they have the information necessary to accurately complete the rating.

Career Interns are rated under the Senior System. They will be rated after a 6-month period beginning on or about their entry on duty date (special rating). One year after their entry on duty, Interns will receive their first annual rating. Thereafter, they will continue on their entry on duty date based rating cycle until they complete the Intern Program. When they complete the intern program they will be phased into the DA standard rating cycle using the procedures for employees whose annual rating cycle dates change.

3. Temporary Promotions and Details. Temporary promotions and details for 120 days or more require performance plans and will be documented by special appraisals.

a. Temporarily promoted employees do not get special appraisals when the employee's rating cycle ends during the temporary promotion. The rater of the position to which temporarily promoted will prepare an annual appraisal for any employee who has served under them for 120 days in a temporary appointment by the end of the employee's rating cycle.

b. Detailed employees get a special appraisal for the detail period from the rater of the detail position when the normal rating cycles ends during the detail. The employee will also get their annual appraisal from their normal rater. The special appraisal can be attached to the annual appraisal or the rater can adopt the special appraisal as the annual appraisal if the detail lasted more than half of the rating period.

c. Raters can also adopt the special appraisal as the annual appraisal anytime a detail lasts more than eight months. The rating chains does this by completing the administrative data in part 1 of either the DA Form 7222 or 7223, they each insert comments incorporating the special appraisal as the rating of record, and sign the report in Part II.

4. New employees or employees who move into positions that change their annual rating cycle dates will be rated as follows:

a. The employee will not receive an annual rating if entry on duty occurs less than 120 days before the rating period ends and the employee received an annual rating in the previous position. The additional time will be included in the next rating cycle (example: annual rating for 14 months). If the employee did not receive a rating in the previous position, the new rating period should be extended to allow 120 days under the new performance plan, and the rater and senior rater should rate the employee.

b. If entry on duty occurs during the rating cycle and the employee works at least 120 days under an approved performance plan before the rating cycle ends, he/she should receive a rating of record, or if the employee has already received an annual rating for the rating year, the rater should add the time in the new position to the next rating period rather than complete a second rating of record.

c. When an annual rating cannot be prepared at the end of the scheduled rating cycle (example: ratee is not given performance objectives/standards, ratee is on a PIP, extended illness, or long-term classroom training), rating periods are extended for the time necessary to meet the minimum 120-day requirement, at which time annual ratings will be prepared. Extension will not exceed 120 days unless special circumstances exist beyond the rater's or senior rater's control. All extensions require prior approval of the CPAC.

## **BASE and SENIOR SYSTEM OVERVIEW**

### **BASE SYSTEM OVERVIEW**

1. The Base System should be used to evaluate all WG and WL employees and all WS/ GS 08 and below. Employee responsibilities and performance standards apply to all employees and are preprinted on the appraisal form. The expectations set forth for each responsibility should be written as objectively as possible, and should be measurable (met all milestones, quality of results, used required processes, made efficient use of resources) and should be of such impact

that failure to accomplish one or more of them could result in the ratee's removal from the position. Responsibilities in the Base System are critical job elements as required by 5 CFR 430.

2. The players involved in the Base System. The ratee (person who is being rated) talks to the rater about the job, what needs to be done; how it should be done; what he or she is doing or wants to do; questions or problems he/she has; training and help he/she needs to do things better. The rater (usually the first level supervisor) tells the ratee what needs to be done, when and how, how the ratee is doing the work, what training the ratee needs; the rater also asks the ratee for ideas on the same subjects. Performance standards and responsibilities are developed from this exchange of ideas. If an intermediate rater is used, the intermediate rater looks at the performance plan and ratings and suggests needed changes. Many ratees do not have intermediate raters. The senior rater is the person who approves performance plans and performance ratings and documents the ratee's potential.

3. The counseling checklist (DA Form 7223-1) tells the rater when and how to counsel and is what the rater and ratee use to write down the main points made during counseling sessions. The Counseling Checklist becomes the Performance Plan, this information is written on the form and the ratee, rater, and senior rater initial and date the form. The Performance Plan becomes effective on the date the senior rater initials the document. The Counseling Checklist form can be typed or handwritten, can be changed as needed and the rater can add more pages (plain paper, notebook paper, etc.) when needed. The rater should use the counseling checklist to record what needs to be done so that each ratee will have a current performance plan to use while performing their duties and to record how/what things are being done so that each member of the rating chain will have specific information on what is expected and what was accomplished. The rater and ratee discuss and try to agree on performance standards and responsibilities during performance counseling sessions. The rater will list the standards and responsibilities on the counseling checklist and provide them to the ratee. Upon written request, ratee will be provided a written explanation of any rejected suggestion for a standard or responsibility. The ratee has 10 workdays to challenge an unfair or unreasonable performance standard or responsibility. The senior rater will make the final decision and will consider concerns raised by the employee, the union or CPAC.

4. Performance counseling is conducted within 30 days of the beginning of the rating period, again at the midpoint of the rating cycle and any other times as required. Performance standards are developed during performance counseling and both old and new ones are recorded on the counseling checklist. Absolute performance standards are rarely appropriate. The performance evaluation report (DA Form 7223) is the form used to record both Special and Annual Ratings.

5. The rater should counsel the ratee to tell them what the work unit is doing, to tell the ratee what the rater expects the ratee to do (what, how, and by when), so that the rater can hear what the ratee would like to do now and in the future, how the ratee thinks the job could be done better, and what help and/or training the ratee thinks is needed. The rater should counsel the ratee face-to-face. The rater should be as clear as possible when expressing measurable expectations, and address any questions the ratee may have. The rater should listen carefully to what the ratee says. The rater and ratee should talk, as often as needed during the rating period, to be sure both understand the expectations. Effective counseling sessions should prevent unreasonable or unfair performance standards and responsibilities but, when there are disagreements, the senior rater can be asked to assist.

6. The rater should use the checklist to record what needs to be done so that each ratee will have a current performance plan to use when performing their duties and to record how/what things



are being done and so that each member of the rating chain will have specific information on what is expected and what was accomplished.

7. At the midpoint of the rating period the rater tells the ratee when and why they will meet to discuss responsibilities. This will ensure that the ratee is provided an opportunity to discuss their ideas. At the meeting the rater and the ratee talk about what needs to be done, what has changed, what the ratee has done and how, and what training he/she needs. During the meeting the rater and ratee talk and make needed changes to the plan. When they both understand what was done, how it was done, what needs to be done, and by when, they write the main points on the checklist, initial and date. If major changes to the expectations occur (example: new mission requiring changed priorities), the rater sends the checklist to the senior rater for approval.

8. At the end of the rating period the ratee has the opportunity to submit their written accomplishments for the rating period to the rater. The rater should consider the information when preparing the performance evaluation.

9. At the end of the rating period the raters use information on the counseling checklist to rate the ratee's performance and to write the evaluation report. Each responsibility is listed on the left, followed by trigger words to remind the rater what types of activities are being rated. The rater checks a rating block for each responsibility after thinking about what and how well the ratee did, as follows:

- a. Excellence: The ratee consistently exceeds level described by standards and documented expectations; the ratee frequently produces more and/or better than expected.
- b. Success: The ratee usually performs at the level described by standards and documented expectations. The quality/quantity of accomplishments are generally at expected level. Strengths clearly outweigh weaknesses.
- c. Needs Improvement: The ratee sometimes performs at the level described by standards and documented expectations. However, the ratee fails enough so weaknesses slightly outweigh strengths.
- d. Fails: The ratee frequently fails to perform at a level described by standards and documented expectations. The ratee rarely achieves expected results. Weaknesses clearly outweigh strengths.

The rater will write bullet examples of what the ratee did. Raters must give examples of work if they check a block other than success. Examples are encouraged for success since one purpose of the rating system is to inform. The bullet examples are specific results that can be seen or measured; simple statements of what was done. The rater sends the proposed evaluation with the Counseling Checklist/record and the list of accomplishments (if received) to the next level rater.

10. If an intermediate rater is used the intermediate rater reviews the counseling checklist and the Responsibilities rating assigned by the rater. The intermediate rater recalls personal knowledge or observations of the ratee's performance and work related behavior. If the intermediate rater agrees with the rater's proposed rating, the intermediate rater signs and dates in part II of the evaluation form and sends it with the counseling checklist to the senior rater. If the intermediate rater disagrees with the proposed rating he/she should try to work it out with the rater. If the rater and intermediate rater fail to work out their differences, the intermediate rater puts his/her concerns in writing and forwards the concerns, checklist and evaluation to the senior rater.

11. The senior rater reviews the responsibilities and examples and/or comments of performance assigned by the subordinate raters. If the senior rater is in agreement with the rating, he/she checks the appropriate overall performance rating (block VIa) and writes bullet comments on the

ratee's performance and/or potential. The bullet comments should be short, concise descriptions of performance/potential that do not have to reflect specific examples or results. If the senior rater disagrees with the responsibilities rating assigned by the rater, he/she tells the rater why (the senior rater believes that the bullet examples do not justify the Responsibilities rating, or the senior rater has information that gives him/her a different view of the value of the ratee's contribution to mission accomplishment. If the disagreement is not resolved, the senior rater directs or makes the necessary changes to the Responsibilities rating and comments/examples. Once the disagreement is resolved, the senior rater completes the overall performance rating block, writes his/her bullet comments, and returns the performance evaluation, the checklist and the list of accomplishments (if received) to the rater for discussion with, and signature by, the ratee.

12. The ratee will sign and date the performance rating after the senior rater signs. After the ratee signs the evaluation report, the original (to include the counseling checklist and the list of accomplishments (if received)) is given to the ratee, a complete copy is kept in the ratee's local file and a complete copy is submitted to the Civilian Personnel Advisory Center/Civilian Personnel Operations Center for processing. The report, showing that ratee refused to sign, will be distributed as above even though the ratee refused to sign that appraisal.

13. Correction of written appraisals will be made immediately when a discrepancy is detected. Discrepancies as can result from typographical or clerical errors which unintentionally change the content of the rating or as a result of grievance or arbitration decisions. Corrective actions will include:

- Preparation of corrected performance rating by the appropriate rater for the same rating period.
- Destruction of all copies of the erroneous rating and distribution of the corrected rating.
- Adjustment of personnel actions that were based on the erroneous rating.

14. Reconsideration Process. Ratees who are dissatisfied with their performance appraisal may try to resolve the issue informally with their immediate rater. If they are unable to resolve the issue informally they may request formal reconsideration. The formal request for reconsideration will be submitted through the negotiated grievance procedure for bargaining unit employees.

## SENIOR SYSTEM OVERVIEW

1. The Senior System should be used to evaluate employees at grades WS/GS 09 and above. Individual performance objectives serve as critical job elements as required by 5 CFR 430. DA-wide performance standards are preprinted on the form. The performance objectives should be written as objectively as possible, and should be measurable (milestones met, quality of results, required processes use, made efficient use of resources) and should be of such impact that failure to accomplish one or more of them could result in the ratee's removal from the position.

2. The players involved in the Senior System are the ratee (person who is being rated), who talks to the rater about the job, what needs to be done; how it should be done; what the ratee is doing or wants to do; questions or problems the ratee has; training and help the ratee needs to do things better. The rater (usually the first level supervisor) tells the ratee what needs to be done, when and how, how the ratee is doing the work, what training the ratee needs; the rater also asks the ratee for ideas on the same subjects. The two discuss these matters and performance standards and objectives are developed from this exchange of ideas. If an intermediate rater is used, the intermediate rater looks at the performance plan and ratings and suggests needed changes. Many ratees do not have intermediate raters. The senior rater is the person who approves performance

plans and performance ratings and documents the ratees potential. The performance objectives on the support form do not become effective until the senior rater initials the form.

3. The support form (DA Form 7222-1) is a working document on which the ratee and rater document performance objectives and the ratee lists accomplishments. DA wide standards are preprinted to assist raters in rating objectives. The form tells the rater when and how to counsel and is used to write down the main points made between rater and ratee during counseling sessions. When this information is written on the form and the ratee, rater, and senior rater have initialed and dated the form, the form becomes the Performance Plan. The Performance Plan becomes effective on the date the senior rater initials the documents. The support form is the form on which the rater writes what needs to be done, how the work will be done, the required training and how the ratee is performing. The form can be typed or handwritten and can be changed as needed. If additional space is needed the rater can add more pages (plain paper, notebook paper, etc.). The rater and ratee discuss and try to agree on performance standards and objectives during performance counseling sessions. The rater will list the standards and objectives on the support form and provide them to the ratee. Upon written request, ratee will be provided a written explanation of any rejected suggestion for a standard or objective. The ratee has 10 workdays to challenge an unfair or unreasonable performance standard or responsibility. The senior rater will make the final decision and will consider concerns raised by the employee, the union or CPAC.

4. Performance counseling is conducted within 30 days of the beginning of the rating period, again at the midpoint of the rating cycle and any other time as required. During the counseling sessions the rater should counsel the ratee to tell them what the work unit is doing, what the rater expects the ratee to be doing (what, how, and by when), to hear what the ratee would like to do now and in the future, how the ratee thinks the job could be done better, and what help and/or training the ratee thinks is needed. The rater should counsel the ratee face-to-face. The rater should be as clear as possible when expressing measurable expectations, and address any questions the ratee may have. Organizational priorities and goals may change during the rating cycle; individual objectives should change as well. As new objectives are added or objectives change, are deleted or are accomplished, the rater and the ratee should document the support form accordingly. If major changes to performance objectives are made on the support form, the senior rater should review and approve the modifications.

5. The rater should use the support form to record what needs to be done so that each ratee will have a current performance plan to use while performing their duties and to record how/what things are being done so that each member of the rating chain will have specific information on what is expected and what was accomplished.

6. At the end of the rating period the ratee lists their accomplishments in Part IVc of the support form. Accomplishments may be continued on a separate sheet if more space is needed. The completed support form accompanies the performance evaluation to each rater. The rater should consider the information when preparing the performance evaluation.

7. At the end of the rating period the raters use information on the support form to rate the ratee's performance and to write the evaluation report. The rater decides which objectives will be rated. These objectives can be omitted or carried forward to the next rating period. If progress was made, but the task not completed for reasons beyond the ratee's control or by mutual agreement between the rater and the ratee, the rater may evaluate only the completed portion. A lower rating should be given if the ratee's deficiency caused the objective not to be accomplished. Failure to accomplish a portion of an objective (one which has numerous sub-

objectives) does not require the rater to assign a rating below success for the objective. Raters rate each objective using the following criteria:

- a. Excellence: The ratee consistently exceeds level described by standards and documented expectations; the ratee frequently produces more and/or better than expected.
- b. Success: The ratee usually performs at the level described by standards and documented expectations. The quality/quantity of accomplishments are generally at expected level. Strengths clearly outweigh weaknesses.
- c. Needs Improvement: The ratee sometimes performs at the level described by standards and documented expectations. However, the ratee fails enough so weaknesses slightly outweigh strengths.
- d. Fails: The ratee frequently fails to perform at a level described by standards and documented expectations. The ratee rarely achieves expected results. Weaknesses clearly outweigh strengths.

The rater will write bullet examples of ratee achievements. Examples are required for objectives rated below success, and those rated excellence insofar as space permits. Examples are encouraged for success since one purpose of the rating system is to inform. The rater sends the proposed evaluation with the support form to the next level rater.

8. If an intermediate rater is used the intermediate rater reviews the evaluation form and the support form. The intermediate rater recalls personal knowledge or observations of the ratee's performance and work related behavior. If the intermediate rater agrees with the rater's proposed rating, the intermediate rater signs the appropriate block, of the evaluation form and sends it with the support form to the senior rater. If the intermediate rater disagrees with the proposed rating he/she will try to work it out with the rater. If the rater and intermediate rater fail to work out their differences, the intermediate rater will put his/her concerns in writing and send the concerns, support form and evaluation to the senior rater.

9. The senior rater reviews the support form and objectives rating. If the senior rater is in agreement with the rating, he/she checks the appropriate overall performance rating block and provides bullet comments, both on the ratee's overall performance and on the ratee's potential to perform different and/or higher level work. If the senior rater disagrees with the subordinate raters, he/she will attempt to resolve the disagreement through discussion/negotiation. If disagreement is not resolved, the senior rater will direct the rater to make the necessary changes to the objectives rating and comments/examples. The senior rater will then check the appropriate overall performance rating block and provide bullet comments on the ratee's performance and potential. The senior rater will then sign and date the evaluation and return the performance evaluation and the support form to the rater for discussion and signature of the ratee.

10. The ratee will sign and date the performance rating after the senior rater signs. After the ratee signs the evaluation report, the original (to include the counseling checklist and the list of accomplishments (if received)) is given to the ratee, a complete copy is kept in the ratee's local file and a complete copy is submitted to the Civilian Personnel Advisory Center/Civilian Personnel Operations Center for processing. The report, showing that ratee refused to sign, will be distributed as above even though the ratee refused to sign that appraisal.

11. Correction of written appraisals will be made immediately when a discrepancy is detected. Discrepancies as can result from typographical or clerical errors which unintentionally change

the content of the rating or as a result of grievance or arbitration decisions. Corrective actions will include:

- Preparation of corrected performance rating by the appropriate rater for the same rating period.
- Destruction of all copies of the erroneous rating and distribution of the corrected rating.
- Adjustment of personnel actions that were based on the erroneous rating.

12. Reconsideration Process. Ratees who are dissatisfied with their performance appraisal may try to resolve the issue informally with their immediate rater. If they are unable to resolve the issue informally they may request formal reconsideration. The formal request for reconsideration will be submitted through the negotiated grievance procedure for bargaining unit employees

### **IMPACT OF PERFORMANCE MANAGEMENT**

Supervisors and managers must consider performance appraisals and ratings when adjusting base pay and determining performance awards, training, rewarding, reassigning, promoting, reducing-in-grade, reduction-in-force, retaining and removing employees.

#### **Pay Increases**

##### **a. Within-Grade Increases (WIGI):**

(1) Federal Wage System employees advance automatically to the next pay step by receipt of a within grade increase (WIGI) with current rating of record of at least Successful Level 3 so long as they satisfy the time requirements.

(2) General Schedule (GS) employees must also be rated at Successful Level 3 or higher and satisfy time requirements to be eligible for WIGI. However, if the current rating of record does not support an accurate acceptable level of competence determination (example: a GS-07 employee has a current rating of successful Level 3, but has been experiencing performance problems for the past four months so that the current level of performance is below Successful Level 3), the rater must prepare a new rating of record that explains the decision. (NOTE: Such appraisals should be coordinated with the servicing CPAC).

b. Quality Step Increases (QSI): Only GS employees rated Successful Level 1 are eligible for QSIs, which are one-step increases to base pay. The procedures for awarding a quality step increase as well as all other performance and incentive awards are governed by regulation and local policy.

#### **Performance Awards**

All ratees rated at Successful Level 3 or higher are eligible for consideration for performance awards. Awards are granted based on merit and budget. The same act or achievement, however, cannot form the basis for more than one type of monetary award.

## Placement Decisions

Selecting officials can request and consider referred ratee's recent ratings of record (example: the last 3 years) when making placement decisions. Information on appraisals may indicate if and how well ratees performed duties relevant to the position for which they are being considered. A rating history may indicate the individuals potential to perform different or more responsible work. Selecting officials must remember that ratees may not have had an opportunity to demonstrate individual potential and therefore, may not use the lack of a rating history of individual potential as a screen out for promotions.

## Reductions in Force

Procedures for adjusting service computation dates for Reduction in Force based on ratings of record will be in accordance with Title 5 CFR 351, subpart E and AR 690-300, Chapter 351.

## Performance Based Actions

Ratees may be reassigned, reduced-in-grade, or removed based on unacceptable performance.

- a. Ratees will be assigned and utilized at their highest performance levels consistent with governing law, regulations and the needs of the employer. This plan does not cover return of probationary supervisors to their prior position within the first year of supervisory service.
- b. When the rater determines that the ratee's performance falls within the "needs improvement" category, the rater will notify the ratee and will provide appropriate assistance. Such assistance may include formal training, on-the-job training, counseling and closer supervision.
- c. When a ratee's performance fails to meet expectations in the overall summary rating of the ratee's responsibilities/objectives, the ratee (other than a probationary employee or a probationary supervisor) must be informed in writing, through a Performance Improvement Plan (PIP) provided guidance and assistance, and given an opportunity (not less than 30 days or more than 90 days) to improve performance. Actions to assist the ratee in improving his or her performance may include formal training, on-the-job training, counseling, and closer supervision. Also, the ratee must be informed in writing that performance responsibility/objective ratings must reach the "successful" level as a minimum for retention in the position. The written notice will outline the specific performance deficiencies and will advise the ratee specifically on how to improve his/her performance. Ratees who do not improve, and maintain a successful level of performance for one year after being given an opportunity to do so under a PIP will be reassigned, reduced in grade or removed in accordance with procedures set forth by the ten current versions of 5 CFR, Part 432 and AR 690-400, Chapter 432.

The procedures current on the effective date of this Memorandum of Agreement are that when a ratee's performance remains unacceptable after the PIP and it is not the result of a handicapping condition that could be accommodated, the ratee will be considered for reassignment, reduction-in-force, or removal as follows:

- (1) Every reasonable effort will be made to reassign the ratee to any appropriate vacancy at the same or equivalent grade and pay level. The decision to reassign will be based on the availability of a vacancy and the duties the ratee could perform.

(2) If reassignment is not available, every reasonable effort will be made to place the ratee in any lower graded vacancy (demote) with adjusted pay not to exceed the highest level (step) of the grade to which reduced. The decision to demote will be based on the availability of a vacancy and the duties the ratee could perform.

(3) If reassignment or demotion is not available, a notice of proposed removal for unacceptable performance may be initiated and processed IAW 5 CFR 432 or AR 690-700, Chapter 751. Ratees who receive a notice of proposed removal are entitled to the following:

(a) Thirty (30) days advance written notice of the proposed action that identifies the specific instances of unacceptable performance on which the proposed action is based and the responsibility(ies)/objective(s) involved in each specific instance of unacceptable performance.

(b) Representation by a person of the ratee's choice, so long as such service by the representative does not result in a conflict of interest or position or give rise to unreasonable cost to the government. Ratees must designate their representative in writing and provide written notice of any change to the CPAC, Labor Management Office.

(c) The right to receive/review or to authorize an appropriate representative to receive/review all relevant documentation used as a basis for the proposed action.

(d) Fifteen (15) days after receipt of the proposed action to answer/respond orally and in writing and a five (5) day extension where unforeseen or extenuating circumstances exist that could prevent the employee from responding in a timely manner.

(e) A timely written decision, usually not later than thirty (30) days after the notice period expires.

(4) The written decision will--

(a) Specify the instances of unacceptable performance on which the decision is based. Only instances of unacceptable performance that occurred since the last acceptable performance appraisal (not to exceed one year prior to the date of the notice of proposed action) will be used to support the decision. Also, only those instances specified in the notice of proposed action may be relied on to support the decision.

(b) Be concurred with by a higher level official in the supervisory chain than the official who proposed the action.

(c) State the effective date of the action.

(d) Be delivered to the ratee before the time the action will be effective. Decisions will normally be delivered at least seven (7) days prior to the effective date.

(5) Improvement in the ratee's performance during the notice period along with the answer/response will be considered in reaching the decision. A ratee will be notified in writing of a decision to withdraw or cancel the proposed action.

(6) If the employee indicates, or the supervisor strongly suspects, that the employee's performance deficiencies are the result of, or have been affected by emotional problems, family pressures, or other problems of a personal nature, the supervisor should refer the employee to the Employee Assistance Program (EAP) for counseling and assistance as appropriate. Supervisors may, in consultation with the CPAC, Labor Management Office, suspend disciplinary/adverse actions for a period of time (up to 180 days) pending enrollment in and cooperation with an authorized treatment program for these problems.

(7) In cases identified in paragraph (6) above, successful completion of treatment will be cause to extend a PIP so that a fair and representative determination of performance can be made. In any event, ratees are entitled to a PIP, which provides a reasonable opportunity to meet the standards prior to any proposed removal for unacceptable performance.

### Supervisory Probationary Periods

Employees serving initial appointments to supervisory positions will be returned to non-supervisory/managerial positions if they fail to meet the expectations set forth in their performance plans. The decision to return them can be made at any time in the one year probationary period. Notice of shortcoming and opportunity to improve is not required but, normally, they should be provided enough information in writing for them to understand how they are failing and how they can improve before returning them to non-supervisory/non-managerial positions.



## APPENDICES

### APPENDIX A.

#### **BASE SYSTEM CIVILIAN PERFORMANCE COUNSELING CHECKLIST/RECORD**

The Base System Civilian Performance Counseling Checklist/Record (DA Form 7223-1) is a working document on which the ratee and rater document ratee responsibilities in the form of individual performance standards. Preprinted DA responsibilities and performance standards are identified to assist raters in the rating process. The counseling record/individual performance standards serve as the performance plan once the raters and ratee initial and date the form. The performance plan becomes effective on the date the senior rater initials. Discussion and documentation concerning ratee's individual performance standards are required within 30 days from the beginning of each rating period. Later discussion is required at a minimum at the midpoint of the rating period.

#### **HOW TO WRITE INDIVIDUAL PERFORMANCE STANDARDS (RESPONSIBILITIES)**

The following paragraphs provide some guidelines for developing individual performance standards. However, because of the significant numbers of different types of base-system jobs found on Fort Bragg, no one sample of the Base System Civilian Performance Counseling Checklist/Record could meet the needs of all base-system positions. Therefore, a list of sample individual performance standards (responsibilities) and training needs for a variety of base-system positions is provided. Also, included in this appendix is a sample DA Form 7223-1, which provides general directions.

**Start with an action verb.** Achievement of a particular responsibility should come as a result of some sort of action. Commitment to action is a basic to the formulation of a responsibility (individual performance standard).

**Specify a single key result to be accomplished.** For particular responsibility to be effectively measured, both the rater and ratee should have a clear picture of when it has or has not been accomplished. The standard should state a range for successful performance.

**Ensure individual performance standards are as measurable and verifiable as possible.** The rater and ratee should be able to evaluate to what degree the standard was attained.

**Ensure each responsibility relates directly to ratee's role and mission.** The responsibilities may be considered obvious, but writing them down in the form of individual performance standards provide a good check for validity of the responsibility.

**Ensure responsibilities are realistic and attainable while representing a challenge.** Responsibilities should serve as a motivational tool. Each individual performance standard should be within reach of the ratee to accomplish but not so easy that it does not provide a challenge.

## **SAMPLE COUNSELING RECORD/INDIVIDUAL PERFORMANCE STANDARDS**

- R – Store expendable supplies received in designated supply cabinets within 3-4 workdays after receipt. No more than 5 failures to meet responsibility during the rating period.
- R – Reduce filing backlog by 10-15% each quarter.
- R – Maintain statistics and prepare quarterly reports for submission to supervisor within 5-7 days after the end of the quarter. No more than 1 failure to meet responsibility during the rating period.
- R – Establish work priorities for equipment repair within 24 hours of receipt of equipment needing repair. No more than 4 failures to meet responsibility during the rating period.
- T – Complete training in WordPerfect 6.0 for Windows, NLT end of 1<sup>st</sup> quarter..
- T – Attend Modern Army Record-Keeping System (MARKS) course NLT end of 2<sup>nd</sup> quarter.
- T – Begin on-the-job training for painting new equipment.
- T – Schedule attendance at the Basic Hydraulic Equipment Maintenance Course by end of 3<sup>rd</sup> Quarter.
- Assist three employees in preparing backup files during computer upgrades in February.
- Inspection of requisition register for the third quarter showed no errors were made during the quarter for over 500 requisitions
- Needs additional training on new military personnel management computer software.
- Corrected 95% of equipment deficiencies within 72 hours of equipment turn-in.

**R**: Responsibilities: Mark responsibilities used in the Base System with an “R” to denote that they are a critical element of the position as defined by 5 CFR 430.

**T**: Training: Mark training goals used in the Base System with a “T” to denote training goals for the rating period.

Leave all other performance standards/responsibilities used in the Base System as unmarked to denote that they are not a critical element of the position as defined by 5 CFR 430.

## APPENDIX B

### SENIOR SYSTEM CIVILIAN EVALUATION REPORT SUPPORT FORM

The Senior System Civilian Evaluation Report Support Form (DA Form 7222-1) is a working document on which the ratee and rater document performance objectives and the ratee lists accomplishments. DA-wide standards are preprinted to assist raters in rating objectives. The position description, the DA-wide standards, and documented individual objectives serve as the performance plan once the raters and ratee initial and date the form. The performance plan becomes effective on the date the senior rater initials. Initial objectives-setting discussion and documentation is required within 30 days from the beginning of each rating period. Later discussion is required at a minimum at the midpoint of the rating period.

#### TYPES OF PERFORMANCE OBJECTIVES

Objectives that address the repetitive and commonplace duties that must be carried out are considered *routine* objectives. These objectives are duties that will produce less visible results but will have serious consequences if not properly executed.

Objectives that provide for dealing with problem situations are considered *problem solving* objectives. This type objective should plan for or address potential problems so that time is available to deal with them without disrupting other objectives.

Objectives that create new or improved methods of operation in the organization are considered *innovative* objectives.

Objectives that further professional growth of an individual or his/her subordinates are considered *personal development* objectives.

#### HOW TO WRITE PERFORMANCE OBJECTIVES

The following paragraphs provide some guidelines for developing performance objectives. However, because of the significant numbers of different types of senior-system jobs found on Fort Bragg, no one sample of the Senior System Civilian Evaluation Report Support Form could meet the needs of all senior-system positions. Therefore, a list of sample performance objectives and training needs for a variety of senior-system positions is provided. Also, included in this appendix is a sample Form 7222-1 which provides general directions.

**Start with an action verb.** Achievement of a particular objective should come as a result of some sort of action. Commitment to action is basic to the formulation of an objective.

**Specify a single key result to be accomplished.** For a particular objective to be effectively measured, both the rater and ratee should have a clear picture of when it has or has not been accomplished.

**Ensure objectives are as measurable and verified as possible.** The rater and ratee should be able to evaluate to what degree the objective was attained. The responsibilities should have a range for successful performance.

**Ensure each objective relates directly to ratee's role and mission.** The objective may be considered obvious, but writing them down provides a good check for validity of the objective.

**Ensure objectives are realistic and attainable while representing a challenge.** Objectives should serve as a motivational tool. They should be within reach of the ratee to accomplish but not so easy that they don't provide a challenge.

### **SAMPLE OBJECTIVES**

- O – Develop checklist on accident prevention to be used by office staff by end of 1<sup>st</sup> Quarter.
- O – Compile and prepare detailed indexes for assigned publications within 10 days of receipt. No greater than 5 failures during the rating period.
- O – Maintain roster of internal security personnel; ensure 95% accuracy throughout fiscal year.
- O – Ensure performance evaluations are completed within 30-45 days of close of rating period. No greater than 1 failure during the rating period.
- O – Reduce compensation costs within your section by 5%; efforts realizing cost avoidance are included.
- O – Develop two customer initiatives by the end of the rating period.
- T – Learn one new computer program software package by end of FY
- T – Submit application to attend the Army Management Staff College NLT 3<sup>rd</sup> quarter FY.
- T – Attend LEAD course by 2<sup>nd</sup> quarter FY.

**O**: Objective: Mark objectives used in the Senior System with an “O” to denote that they are a critical element of the position as defined by 5 CFR 430.

**T**: Training: Mark training goals used in the Senior System with a “T” to denote training goals for the rating period.

## APPENDIX C

### RESPONSIBILITY / OBJECTIVE RATINGS

Subject ratings are assigned to **responsibilities** that are rated in the base system and **objectives** that are rated in the senior system. These ratings define the level of performance achieved for that particular responsibility/objective.

**EXCELLENCE.** Consistently exceeds level described by the standards and documented expectations; frequently produces more and/or better than expected.

**SUCCESS.** Usually performs at the level described by the standards and documented expectations. Quality/quantity of accomplishments are generally at expected levels. Strengths clearly outweigh weaknesses.

**NEEDS IMPROVEMENT.** Sometimes performs at level described by the standards and documented expectations. However, fails enough so that weaknesses slightly outweigh strengths.

**FAILS.** Frequently fails to perform at levels described by the standards and documented expectations. Rarely achieves expected results. Weaknesses clearly outweigh strengths.

## APPENDIX D

### **OVERALL RATING FORMULAS** **BASE SYSTEM SUCCESSFUL**

**Level 1** – Ratee with no supervisory duties is rated EXCELLENCE in three or more of the Non-supervisory responsibilities and SUCCESS in the remaining non-supervisory responsibilities. Ratee **with supervisory duties** is rated EXCELLENCE in four or more responsibilities at least one of which must be either Supervision/Leadership or Equal Employment Opportunity/Affirmative Action (EEO/AA)--and success in the remainder.

**Level 2** – Ratee **with no supervisory duties** is rated EXCELLENCE in either two or one non-supervisory responsibilities and SUCCESS in others. Ratee **with supervisory duties** is rated EXCELLENCE in either three or two responsibilities--one must be either Supervision/Leadership or EEO/AA for supervisors--and SUCCESS in the others.

**Level 3** – Ratee **with no supervisory duties** is rated SUCCESS in ALL non-supervisory responsibilities. Ratee **with supervisory duties** is rated EXCELLENCE in one or more non-supervisory responsibilities but SUCCESS in both Supervision/Leadership and EEO/AA or who is rated SUCCESS in all non-supervisory responsibilities and EXCELLENCE in either Supervision/Leadership or EEO/AA.

**FAIR** – Ratee is rated NEEDS IMPROVEMENT in one or more responsibilities and is rated at least SUCCESS in all others.

**UNSUCCESSFUL** – Ratee is rated FAILS in one or more responsibilities regardless of ratings assigned to remaining responsibilities.

**OVERALL RATING FORMULAS**  
**SENIOR SYSTEM SUCCESSFUL**

**Level 1** – Ratee **with no supervisory duties** is rated EXCELLENCE in 75% or more of objectives and SUCCESS in the remaining objectives. Ratee **with supervisory duties** also must be rated EXCELLENCE in 75% or more of ALL objectives – which **MUST** include EXCELLENCE ratings for **EITHER** Organizational Management/Leadership **OR** Equal Employment Opportunity/Affirmative Action (EEO/AA) objectives--and SUCCESS in the remainder.

**Level 2** – Ratee **with no supervisory duties** is rated EXCELLENCE in 25 through 74% of rated objectives and SUCCESS in remaining objectives. Ratee **with supervisory duties** also must be rated EXCELLENCE in 25 through 74% of ALL objectives--which **MUST** include EXCELLENCE ratings for **EITHER** Organizational Management/Leadership **OR** EEO/AA objectives and SUCCESS in the remainder.

**Level 3** – All ratees who are rated SUCCESS in ALL rated objectives or EXCELLENCE in 1% through 24% and SUCCESS in remaining objectives. Ratees **with supervisory duties** who were rated EXCELLENCE in any number of objectives but SUCCESS in those for both Organizational Management/Leadership and EEO/AA.

**FAIR** – All ratees who are rated NEEDS IMPROVEMENT in 1 or more objectives and at least SUCCESS in all others.

**UNSUCCESSFUL** – All ratees who are rated FAILS in 1 or more objective -- regardless of ratings assigned to remaining objectives.

## APPENDIX E

### **SAMPLE OF DCPDS – GENERATED LETTER PROBATIONARY AND TRIAL PERIOD**

REPLY TO: Civilian Personnel Advisory Center

SUBJECT: Completion of Probation/Trial Period

TO: Ms. Janice R. Smith, Chief, Supply Division

Mr. John G. Doe will complete his/her one-year probationary/trial period in his/her new position/supervisory position on 30 June 2001. As this individual's supervisor, you must certify whether conduct/performance are at a level to warrant retention of this person in his/her current position. You may do so by checking the appropriate block below; providing your and the employee's signature and the date are on the form; and returning it to the Directorate for Civilian Personnel within two weeks from the date of this transmission.

FROM: SUPERVISOR

I have held a counseling session with this probationary/trial employee/supervisor. My decision is summarized below:

a. Successful Performance: (Please check one of the two blocks)

(1) ☐ Employee is successful in all elements of job performance and conduct and should be retained in his/her present position; or

(2) ☐ Supervisor is successful in all supervisory/managerial elements of the position and should be retained.

b. Unsuccessful Performance:

☐ Employee is not satisfactory in all elements of job performance and conduct. I have discussed this with the employee relations' specialist and have initiated action to accomplish the following:

☐ Additional Training  
☐ Demotion

☐ Reassignment  
☐ Separation

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Supervisor Signature/Date

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Employee Signature/Date